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ABSTRACT

From August to November of 1992, 10 institutions from central New York State (Colgate University Library, Fayetteville Free Library, Herkimer County Community College Library, Oneida Community Mansion House, Onondaga Community College Library, Onondaga County Public Library, Onondaga Historical Association, Skaneateles Library Association, State University of New York Health Science Center - Syracuse Library, Utica Public Library) participated in a cooperative preservation needs assessment project for the Central New York Library Resources Council. The assessment consisted of three phrases, each launched by a 1-day training seminar. Each of the institutions conducted the survey on a 100- or 400-item random sample drawn from its library collection (either general or a special collection). The project identified preservation problems, solutions, and priorities; developed institutional preservation plans; identified collective preservation problems and solutions; and identified and established priorities for collective action. The target collections samples represented an estimated 627,500 items, with a variety of preservation problems. The vast majority lacked environmental control. The survey formed the basis for a grant proposal for future cooperative action centering on disaster preparedness, preservation program implementation, and a preservation techniques refresher program. Nine appendixes provide supplemental information about the projects, its participants and agenda, and a sample plan. The survey document is included. (SLD)

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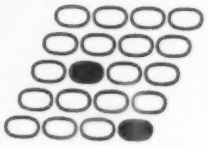

Central New York Library Resources Council
Preservation Committee
with funding from a Discretionary Grant from the
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of Library Research Materials

March, 1993

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PRESERVATION NEEDS ASSESSMENT: A MANAGEMENT TOOL

Final Report of the
1992-1993 Central New York
Preservation Needs Assessment Project

Central New York Library Resources Council
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with funding from a Discretionary Grant from the
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March, 1993

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PRESERVATION NEEDS ASSESSMENT: A MANAGEMENT TOOL

PREFACE

The Central New York Library Resources Council, familiarly known as CENTRO, has facilitated resource sharing among libraries of all types and sizes since 1967. It is one of nine Reference and Research Library Resources Councils in New York State.

CENTRO serves libraries and library systems in Madison, Oneida, Herkimer, and Onondaga Counties. Members in the council include thirteen academic libraries, the Mid-York and Onondaga County Public Library systems, four school library systems, six hospital libraries, and thirty-one special libraries in corporations and non-profit agencies. CENTRO's Preservation program and Documentary Heritage program also include agencies in the four counties with historical documents collections.

CENTRO programs and services are approved by a Board of Trustees elected by the Council membership. Advice and planning assistance for CENTRO programs is given by CENTRO members serving on Standing and Program Committees. Council services include support for database building and access, interlibrary loan, and delivery of materials among libraries. Other services include sponsorship of continuing education events, promoting legislative efforts on behalf of libraries, and communications. The Council also administers grant programs available to council members.

This publication is the result of a successful grant project funded by the New York State Program for the Conservation and Preservation of Library Research Materials. The Preservation Needs Assessment Project (PNAP) includes ten libraries and historical agencies in the CENTRO region and its successful completion provides a model for continued cooperative preservation planning.

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March 1993

PRESERVATION NEEDS ASSESSMENT: A MANAGEMENT TOOL

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INTRODUCTION

From August 1992 to November 1992, ten institutions from central New York participated in a cooperative preservation needs assessment project for the Central New York Library Resources Council (CENTRO) funded by the Discretionary Grant Program of the New York State Program for the Conservation and Preservation of Library Research Materials. The participants, listed below, included academic and public libraries and historical agencies. (See Appendix I for the 1992 Participants List.)

- Colgate University Library
- Fayetteville Free Library
- Herkimer County Community College Library
- Oneida Community Mansion House
- Onondaga Community College Library
- Onondaga County Public Library
- Onondaga Historical Association
- Skaneateles Library Association
- State University of New York Health Science Center - Syracuse Library
- Utica Public Library

Project Director Jeannette Smithee (Assistant Director, Central New York Library Resources Council), Project Consultant Barclay Ogden (Head, Conservation Department, University of California at Berkeley), and Project Liaison Martha Hanson (Preservation Administrator, Syracuse University Library) provided guidance and assistance to the ten participating institutions during the four-month project.

The goal of the Central New York Preservation Needs Assessment Project (PNAP) was twofold:

- ❑ To introduce a systematic process to identify the preservation needs of different types of libraries and historical agencies located in the central New York region.
- ❑ To provide the Central New York Library Resources Council (CENTRO) with comparable quantitative data about the nature and scope of regional preservation needs to assist CENTRO's planning for meeting the needs identified.

PNAP's immediate objectives were:

- ❑ To guide each participating institution through a needs assessment survey to identify needs and set priorities for current and future preservation activities.
- ❑ To assist each institution in developing its preservation plan from the findings of the needs assessment survey.
- ❑ To lay the groundwork for plans to implement regional preservation activities.

PLAN OF WORK

The Central New York Preservation Needs Assessment Project (PNAP) consisted of three phases, each launched by a one-day training seminar attended by a team of two representatives from each of the ten participating institutions. Project Consultant Barclay Ogden conducted meetings on August 3, 1992 at the Syracuse University Library, September 14, 1992 at the Utica Public Library, and November 2, 1992 at the Syracuse University Library. Prior to the August 3, 1992 meeting, CENTRO distributed a "Pre-Training Questionnaire" to each participating institution to collect information about the nature and scope of their respective collections. (See Appendix II for the Pre-Training Questionnaire.)

Phase I (August-September 1992)

Following the August 3, 1992 training seminar each institution conducted a needs assessment survey using the CALIPR Needs Assessment Instrument developed by Mr. Ogden. (See Appendix III for the August 3, 1992 Meeting agenda and Preservation Needs Assessment Survey form.) Each institution conducted the needs assessment survey on a 100 (or 400) item random sample drawn from the collection or portion of the collection it chose to target for assessment. Six PNAP participants chose to survey special collections, while four chose to survey their entire collection. Based on the results of the institutions' surveys, CALIPR calculated the preservation problems, solutions and priorities for the surveyed collections. (See Appendix IV for CALIPR: Introduction.)

The needs assessment survey process consisted of five parts:

- Creating a sampling frame for the target collection;
- Selecting the sample items using random sampling techniques appropriate to each institution;
- Examining each sample item and completing a thirteen question survey form;
- Entering the data from the survey forms into the CALIPR software to generate institutional reports by format; and
- Creating summary reports at CENTRO headquarters from the CALIPR reports of all ten participants.

Each participating institution used available staff, students, and/or volunteers to select the sample and complete the survey forms. Five of the ten participants used the software included with CALIPR to enter the data gathered and print reports for each materials format in the sample. The reports indicated preservation action priorities. The five who did not use the software (because of lack of available hardware) submitted their survey forms to Project Director Jeannette Smithee for entry into the CALIPR software and creation of the reports. (See Appendix V for an institutional CALIPR report for the books format.) CENTRO collected copies of all of the CALIPR reports for the creation of summary reports. Ms Smithee created summary reports for each of the materials formats sampled that extrapolated the sample results to indicate the number of items affected in the complete target collections using spreadsheet software. (See Appendix VI for a summary report for the books format.)

At the conclusion of Phase I, the participating institutions had sampled and surveyed collections representing an estimated total of 627,500 items, including books, unbound documents, films, photographs, and magnetic tapes. Based on each institution's survey results, CALIPR:

- ❑ Provided statistically reliable data for estimating the numbers of items in the target collection with particular preservation problems;
- ❑ Assigned appropriate preservation action/treatments to the preservation problems identified by the survey; and
- ❑ Displayed a rank order of preservation priorities for action/treatment;

Phase II (September-October 1992)

Following the September 14, 1992 training seminar each institution drafted a preservation plan based on the priorities identified by CALIPR during Phase I. (See Appendix VII for the September 14, 1992 Meeting agenda and Phase II documents.) An important part of Phase II was the introduction of the factor of "feasibility" into the planning process (i.e., incorporating information about each institution's ability to meet its preservation priorities). The feasibility factor consisted of two major components:

> **Capability** (e.g., Is there a technical solution available to solve the preservation problem? Are there management skills within the institution to assign management of a particular task or project? Do services exist that can carry out the work?)
>
> **Resources** (e.g., Is staff available to perform the work? Is space available within which to perform the work? Is money available to pay for staffing, services, supplies, equipment, etc.?)

Participants determined feasibility for each preservation priority by using a decision-making matrix that combined the factors of capability and resources to determine a feasibility number. By multiplying each priority number by a feasibility number, participants arrived at program implementation strategy numbers, which formed the basis of their preservation plans. This process is illustrated below.

Capability + Resources => Feasibility

		Capability		
		Yes	Probable	Unlikely
Resources	Yes	1	2	3
	Probable	2	3	4
	Unlikely	3	4	5

Preservation Priority X Feasibility => Implementation Strategy

Priority #	x	Feasibility # =>	Implementation Strategy # (priority)
1		1	1 (1st priority)
2		4	8 (3rd priority)
3		2	6 (2nd priority)

Each participant drafted a preservation plan reflecting the feasibility of institutional action on their preservation priorities. As a result, some participants saw a need identified by CALIPR as a high preservation priority become a lower program implementation priority. It is important to reiterate that, although CALIPR established preservation priorities for collections, each participant drafted a plan that reflected their institution's ability to meet those priorities. The identification of an institution's preservation priorities does not always translate equally to its program implementation strategy.

In order to assist participants in developing their preservation program plans, Project Consultant Barclay Ogden provided an outline "Model Preservation Plan" and a sample completed preservation plan. Before the institution's preservation plan was drafted, Project Liaison Martha Hanson conducted half-day site visits at each of the ten institutions. The site visits included:

- Reviewing the needs assessment data provided by CALIPR;
- Reviewing information provided by the Feasibility Checklist (developed by Mr Ogden and Ms Hanson);
- Determining a program implementation strategy to take action on the preservation priorities identified by the needs assessment (using "Developing an Implementation Strategy" developed by Ms Hanson);
- Reviewing current preservation activities;
- Touring the building; and
- Meeting with the director to discuss preservation goals.

Phase III (November 2, 1992)

Phase III consisted of a one-day meeting to plan for cooperative action. (See Appendix VIII for the November 2, 1992 Meeting agenda.) The planning process included:

- Identifying CENTRO priorities for potential cooperative action;
- Identifying the individual(s), committee(s), agency(ies) that could conduct each action;
- Determining the feasibility of individual(s), committee(s), agency(ies), etc. to carry out each action; and
- Determining the priorities for cooperative action.

The discussion and decision making at the Phase III meeting provided direction for CENTRO's 1993-94 Discretionary Grant proposal, "Central New York Program Implementation Consultancy," submitted to the Discretionary Grant Program of the New York State Program for the Conservation and Preservation of Library Research Materials.

SUMMARY OF RESULTS

The Central New York Preservation Needs Assessment Project produced five major results:

- ❑ The identification of institutional preservation problems, solutions and priorities;
- ❑ The development of institutional preservation plans;
- ❑ The identification of collective preservation problems, solutions and priorities;
- ❑ The identification of collective priorites for cooperative action; and
- ❑ The establishment of CENTRO priorites for cooperative action.

Identification of Institutional Preservation Problems, Solutions and Priorities

The Central New York Preservation Needs Assessment Project introduced the participants to an effective management model for organizing and planning preservation activities. The model introduced participants to the benefits of random sampling as a management tool, to the concepts behind matching solutions to preservation problems, to the use of matrix calculations as a simple but powerful tool to determine priorities for action, and to the impact of feasibility as a factor when drafting a plan for action. Proof of the effectiveness of the model was the fact that in four short months the participants (most coming to the PNAP with no prior preservation experience) had conducted a random sample survey, reviewed the results, established institutional priorities for action based on feasibility and drafted preservation plans.

CALIPR software was the key to the translation of data from the random sample needs assessment survey into estimates of preservation needs. CALIPR generated management reports that:

- ❑ Identified the nature and scope of each institution's preservation problems for each format surveyed based on information gathered from the survey on the factors of access, housing, condition and value.

- ❑ Proposed preservation solutions to the problems identified for each format. The possible solutions were: Inventory Control, Disaster Plan, Fire Protection, Environmental Control, Education, Rebind/Repair, Conserve, Replace/Reformat, and Protective Enclosure.

- ❑ Established a rank order of priorities for action/treatment for each format based on a series of matrix calculations using information gathered by the survey on the factors of access, housing, condition and value. Preservation priorities were calculated using the following model:

Access	+	Housing	=>	Exposure
Exposure	+	Condition	=>	Risk
Risk	+	Value	=>	Preservation Priority.

Development of Institutional Preservation Plans

All ten institutions completed preservation plans for their target collections that included priorities for action/treatment, realistic estimates of the dollar costs for meeting the priorities, and a timetable for action. The participants based their plans on the preservation priorities established by CALIPR and on their own institution's ability to meet those preservation priorities. (See Appendix IX for a sample PNAP Preservation Plan.)

Estimating realistic costs for implementing the preservation actions was an important consideration in determining an institution's ability to take action. In order to calculate costs, participants needed to know how many items in their target collection had a particular preservation problem. Since the CALIPR survey reports were based on a random sample survey, they could provide statistically reliable data for estimating the number of items in the target collections with particular preservation problems. With this information, participants could proceed to estimate costs for each priority action/treatment recommended by CALIPR and consequently work through the process of determining the feasibility of their respective institutions to meet those priorities.

It is important to note that CALIPR utilized a strategy that addressed very visible problems in order to justify an institution's reallocation of scarce resources for expenditure on preservation. The PNAP survey gathered information to justify the need for action right now. For example, the PNAP survey's condition questions identified damage already done, not anticipated damage due to anticipated use. Already damaged materials PROVE the need for resources because they document threats to CURRENT library service. The plans drafted by PNAP participants reflected CALIPR's strategy, by presenting convincing arguments about the current need for action and the associated costs.

Identification of Collective Preservation Problems, Solutions, and Priorities

The target collections sampled for the needs assessment survey represented an estimated 627,500 items, including books, unbound documents, photographs, films, and magnetic media. Although this number represented only a small portion of CENTRO's total library holdings, it is a significant portion because it included a high representation of special collections and archival materials. In fact, nine of the ten institutions chose to target their special collections or historical documents collections for assessment. As a result, the aggregation of data for these ten institutions has provided CENTRO with a first glimpse of the collective preservation needs of Central New York's unique resources.

Of the **627,496** items surveyed:

> **9,977** had problems associated with inventory control, such as security. However, identification of inventory control problems was only possible for those samples drawn from a computer listing or shelf list. Most of the participating libraries drew their samples directly from the stacks or shelves, and could not determine if items were missing or lost.

72,688 items, many of which were high value materials, were not covered by written disaster plans for their salvage in case of disaster.

15,840 items lacked fire protection and were at high risk of complete loss in case of fire or flood. The majority of these were unique materials.

518,032 items lacked environmental control. The majority of these were unique materials at risk of deterioration due to the poor environmental conditions in which they were housed.

148,739 items would benefit from programs of staff and user education because of sustained heavy usage and subsequent wear. Education programs help to minimize the damage from rough use, such as abusive photocopying and fore-edge shelving.

15,083 items needed rebinding or repair in order to sustain further use.

7,157 items needed conservation treatment in order to sustain further use.

69,811 items needed replacement or reformatting in order to sustain any further use.

14,404 needed protective enclosures in order to sustain further use.

Identification of Collective Priorities for Cooperative Action

In order to identify emerging regional preservation problems, solutions and priorities in Phase III, the PNAP participants viewed the survey results from two perspectives: the number of items affected and the number of institutions affected. The summary on the following two pages was taken from the regional summary for the various formats. Please note that for the latter, some actions share the same priority number because the same number of institutions (not always the same ones) were affected. CENTRO decided not to assign arbitrary priority numbers to discriminate among the actions.

Books

269,676 items in target population, ten institutions reporting

Action	Collective Priority: (# Items Affected)	Collective Priority: (# Instit. Affected)
Inventory Control	7 (9,927)	4 (5)
Disaster Plan	3 (30,758)	4 (5)
Fire Protection	6 (11,840)	5 (2)
Environmental Control	1 (185,927)	3 (7)
Education	2 (95,934)	1 (10)
Rebind/Repair	5 (12,992)	2 (8)
Conserve	8 (6,669)	3 (7)
Replace/Reformat	4 (18,627)	3 (7)
Protective Enclosure	9 (5,772)	4 (5)

Unbound Documents

35,300 items in target population, six institutions reporting

Action	Collective Priority: (# Items Affected)	Collective Priority: (# Instit. Affected)
Inventory Control	0	0
Disaster Plan	2 (23,963)	2 (4)
Fire Protection	6 (500)	4 (1)
Environmental Control	1 (33,517)	1 (5)
Education	3 (11,409)	1 (5)
Rebind/Repair	0	0
Conserve	7 (488)	4 (1)
Replace/Reformat	4 (1,820)	3 (2)
Protective Enclosure	5 (1,700)	2 (4)

Photographs

106,800 items in target population, five institutions reporting

Action	Collective Priority: (# Items Affected)	Collective Priority: (# Instit. Affected)
Inventory Control	0	0
Disaster Plan	4 (4,500)	3 (3)
Fire Protection	5 (3,500)	5 (1)
Environmental Control	1 (102,849)	1 (5)
Education	3 (16,902)	2 (4)
Rebind/Repair	0	0
Conserve	0	0
Replace/Reformat	2 (19,419)	4 (2)
Protective Enclosure	6 (2,750)	5 (1)

Film

96,600 population, three institutions reporting

Action	Collective Priority: (# Items Affected)	Collective Priority: (# Instit. Affected)
Inventory Control	5 (50)	3 (1)
Disaster Plan	2 (13,454)	2 (2)
Fire Protection	0	0
Environmental Control	1 (95,437)	1 (3)
Education	3 (2,376)	2 (2)
Rebind/Repair	0	0
Conserve	0	0
Replace/Reformat	4 (1,163)	3 (1)
Protective Enclosure	0	0

Magnetic Tape

4,100 items in target population, two institutions reporting

Action	Collective Priority: (# Items Affected)	Collective Priority: (# Instit. Affected)
Inventory Control	0	0
Disaster Plan	0	0
Fire Protection	0	0
Environmental Control	1 (4,100)	1 (2)
Education	2 (3,300)	1 (2)
Rebind/Repair	0	0
Conserve	0	0
Replace/Reformat	3 (1,600)	2 (1)
Protective Enclosure	0	0

Other*

115,020 items in target population, two institutions reporting

Action	Collective Priority: (# Items Affected)	Collective Priority: (# Instit. Affected)
Inventory Control	0	0
Disaster Plan	6 (13)	2 (1)
Fire Protection	0	0
Environmental Control	1 (96,202)	1 (2)
Education	3 (18,818)	2 (1)
Rebind/Repair	5 (2,091)	2 (1)
Conserve	0	0
Replace/Reformat	2 (27,182)	2 (1)
Protective Enclosure	4 (4,182)	2 (1)

* Includes 100,000 lantern slides, glass plate negatives, daguerreotypes; 5,000 manuscripts, unbound maps, etc.; 9,000 architectural drawings; 1,000 miscellaneous, including 3-dimensional objects

Establishment of CENTRO Priorities for Cooperative Action

After identifying collective problems, solutions and priorities, the participants established priorities for cooperative action. In Phase III, guided by Project Consultant Barclay Ogden, participants worked through a process of determining feasibility and establishing priorities for cooperative action by:

- ❑ Exploring priorities from two perspectives --
  - By the total number of items affected by an action
  - By the total number of institutions affected by an action;
- ❑ Determining whether to incorporate all formats surveyed, or to concentrate on two or three major ones affecting the most institutions;
- ❑ Identifying the actions each institution planned to take regardless of cooperative action;
- ❑ Identifying the actions institutions could not initiate without the benefit of cooperative action;
- ❑ Identifying individuals, committees, agencies, etc. to carry out or coordinate cooperative actions; and
- ❑ Determining the feasibility of the individuals, committees, agencies, etc. to carry out or coordinate a cooperative action.

As a result of the above process, participants:

- ❑ Decided to establish collective priorities based on the number of institutions affected; Decided to concentrate on the books format for their initial cooperative planning efforts;
- ❑ Identified actions that institutions planned to take regardless of cooperative action, and recalculated the collective priority;
- ❑ Identified actions to drop from the planning effort as a result of the recalculated collective priorities (i.e., Inventory Control and Fire Protection);
- ❑ Identified actions that required cooperative action to launch;
- ❑ Identified potential individuals, committees, agencies, etc. to carry out cooperative action;
- ❑ Determined the feasibility of the individuals, etc. to carry out the action; and
- ❑ Developed cooperative action strategy numbers by determining the feasibility number for each action and multiplying it by the action's priority number;

As in previous phases of the PNAP process, preservation priority numbers and feasibility numbers were used to determine implementation strategy, this time for collective regional action rather than individual institutional action. The determination of CENTRO priorities for cooperative action is summarized on the following pages.

Need/ Action	Collective Priority	Who?	Feasibility No.	Strategy No.	Strategy Order
Repair	1	CENTRO Syracuse Univ. Colgate Univ.	1	1	1
Replace	1	CENTRO	2	2	2
Enclosures	1	? ? ?	3	3	3
Disaster Plan	2	CENTRO	1	2	2
Education	2	? ? ?	3	6	5
Conserve	2	Colgate	2	4	4
Environmental Control	3	? ? ?	3	9	6

Priority #1: Rebind/Repair

Rebind/Repair, with its #1 strategy number, emerged as the cooperative preservation action that impacted the most institutions (six) and had the highest feasibility for accomplishment through a cooperative effort. Results of the site visits confirmed the high priority of this action, revealing that the majority of institutions (nine) needed (and wanted) some level of support for training and supplies and/or equipment procurement in order to begin, maintain, or scale up in-house book repair operations.

Priority #2: Replace/Reformat
Disaster Planning

Replace/Reformat and Disaster Planning shared the same strategy number (#2), although both were arrived at differently. Replace/Reformat was a #1 collective priority based on the number of institutions affected (6), but the feasibility number assigned to it by the participants was #2. Disaster Planning was a #2 collective priority (5 institutions affected), but a # 1 feasibility. It is a tribute to the educational outreach performed by staff of the New York State Program for the Conservation and Preservation of Library Research Materials during the past few years that five of the ten participants already had written disaster plans.

Priority #3: Protective Enclosures

Protective Enclosures was assigned a strategy #3. Although it was a #1 collective priority (affecting 6 institutions), the feasibility #3 assigned to it reflected the problem of securing internal funds to purchase supplies to support in-house activities or to contract the work to regional preservation services. The participants felt that a cooperative proposal was the most viable way to secure funding to help meet their needs for protective enclosures.

Priority #4: Conserve

Conserve was a strategy #4, as the result of its #2 collective priority (affecting 5 institutions) and #2 feasibility. The #2 feasibility assigned reflected the problem of participants in securing internal funds to pay for needed conservation treatment. The participants felt that at this time, the only viable way to begin to meet some of the conservation needs of their collections was to seek outside funding.

Priority #5: Education

Education was a strategy #6, as the result of its #2 collective priority (5 institutions affected) and #3 feasibility. The #3 feasibility assigned reflected participants perceptions that, although, it was possible to launch a cooperative education effort, most institutions planned to initiate their own preservation education efforts. One major cooperative need expressed, however, was training for program implementation. While each participant now had written preservation plan in hand, there was an expressed need for training for implementation.

Priority #6: Environmental Control

Environmental control was a strategy #9, as the result of its #3 collective priority (4 institutions affected) and #3 feasibility. The #3 feasibility reflected the difficulty for institutions to secure internal resources to monitor, upgrade, retro-fit, and/or install environmental control systems. The participants felt that it would be possible to secure some external funding from New York State, either individually or cooperatively, to support environmental audits or purchase modest amounts of equipment.

PROJECT EVALUATION

The Central New York Preservation Needs Assessment Project (PNAP) met its goals by guiding participants through a systematic process to identify the preservation needs of their institutions and by providing the Central New York Library Resources Council (CENTRO) with information about the nature and scope of regional preservation needs. At the completion of the project each participating institution had a documented preservation plan for addressing the preservation needs identified for its target collection. CENTRO had collected data about preservation needs in the region and identified priorities for needed cooperative preservation action. CENTRO and at least two of the participating institutions submitted applications for 1993-1994 Discretionary Grants based on needs identified by the project.

The PNAP process demonstrated that, in a short period of time, libraries and historical agencies of varying sizes, with collections representing a variety of formats, could successfully complete

preservation plans. It demonstrated a cost effective method for libraries and historical agencies to cooperatively assess preservation needs. The PNAP process also provided the participants with shared access to the Project Consultant, site visits by the Project Liaison, and the beginnings of a regional informal network for preservation support.

Comments by participants on the benefits of involvement in the PNAP process included:

> "I now have a much clearer, more concrete picture of the preservation needs of the collection and more realistic plans for dealing with them. An unexpected aspect of the sampling process was that we encountered items in the collection that would be appropriate for deaccessioning. Deaccessioning is a dimension of collection management which has not been actively considered in the past. The sampling experience encouraged us to do so now."
>
> "The value of the project for us was to motivate us to do something we [knew] needed to be done. Now - if we can just get to the disaster plan. We have done the easy things."
>
> "...benefitted from participation in the Preservation Needs Assessment Project in the following ways:
>
> A strategic plan was written and clarifies for all library staff the preservation plan to be followed...
>
> A water leak in the Archives this month was dealt with smoothly and partially managed through the purchase of plastic sheeting - an action in our plan for this year."

Some of the factors in the success of the PNAP project were:

- Guidance and expertise of Project Consultant Barclay Ogden;
- Individual feedback during site visits conducted by Project Liaison Martha Hanson;
- Reinforcement in learning and applying the techniques for sampling and in determining priorities and feasibility by teams of two participants from most institutions; and
- Project momentum maintained between phases due to the short time period for the project (August 3, 1992 - November 2, 1992).

Some changes recommended for conducting subsequent Preservation Needs Assessment Projects were :

- Revision of the Pre-Training Questionnaire to introduce the concept of "Target Collection" as the portion of the collection to be surveyed;
- Revision of the Pre-Training Questionnaire list of formats to match the listing and definitions on page 19 of the CALIPR manual;
- Provision of additional support for the Phase I development of the sampling frame for the target collection, including site visits if necessary; and
- Expanded evaluation, including, determination of costs contributed by as well as benefits to the participating institutions.

FUTURE COOPERATIVE ACTION

Based on the priorities for cooperative action established by the PNAP participants, CENTRO developed a grant proposal entitled "Preservation Program Implementation Consultancy." The proposal, which was submitted to the 1993-94 Discretionary Grant Program of the New York State Program for the Conservation and Preservation of Library Research Materials in December 1992, consists of three phases:

- Disaster Preparedness Planning and Implementation
- Preservation Program Implementation Management Strategies
- Preservation Techniques Refresher.

The value of the Preservation Needs Assessment Project has been demonstrated by the first ten PNAP participants. There are nine academic libraries, thirty-one special libraries, and approximately fifty small public libraries in the region which were not reached by this first PNAP project. CENTRO plans to repeat the PNAP process with other libraries and historical agencies in the central New York region which want to develop a tool for preservation planning in a easy and cost effective manner.

APPENDICES

I. Participants List

II. Pre-Training Questionnaire

III. August 3, 1992 Agenda
Preservation Needs Assessment Survey Form

IV. CALIPR: Introduction

V. CALIPR Report: Books Format

VI. Summary Spreadsheet: Books Format

VII. September 14, 1992 Agenda
Feasibility Checklist
Site Visit Agenda
Preservation Implementation Worksheet
Model Preservation Plan outline

VIII. November 2, 1992 Agenda

IX. Sample Preservation Plan

Central New York Library Resources Council
Preservation Needs Assessment Project
1992 Participants

Colgate University
Everett Needham Case Library
13 Oak Drive
Hamilton NY 13346-1399
Melissa McAfee
315/824-7305

Fayetteville Free Library
111 E Genesee St
Fayetteville NY 13066-1386
Ann L. Moore
315/637-6374

Herkimer County Community College
Reservoir Road
Herkimer NY 13350
Valerie Prescott
315/866-0300 ext 217

John D Barrow Art Gallery
Skaneateles Library Association
49 E Genesee St
Skaneateles NY 13152-1396
Mary Kate Buff
315/685-7539

Oneida Community Mansion House
209 Kenwood Ave
Oneida NY 13421-2831
Gail Doering
315/363-0745 or
315/678-6145

Onondaga County Public Library
The Galleries
447 S Salina St
Syracuse NY 13202-2494
Pat Finley
315/448-4700 ext 516

Onondaga Historical Association
311 Montgomery St
Syracuse NY 13202-2098
Edward Lyon
315/428-2862

Onondaga Community College
4941 Onondaga Road
Syracuse NY 13215-2099
Kristine Hogan
315/469-2334

SUNY Health Science Center
Weiskotten Hall
766 Irving Ave
Syracuse NY 13210-1605
Eric Luft
315/464-4585

Utica Public Library
303 Genesee St
Utica NY 13501-3888
Barbara Brookes
315/735-2279

Central New York Library
Resources Council
763 Butternut Street
Syracuse NY 13208-2799
Project Director
Jeannette Smithee
315/478-6080
800/848-8448

Conservation Department
E S Bird Library
Syracuse University
Syracuse NY 13244-2010
CENTRO Preservation Committee Chair
Martha Hanson
315/443-1947

University of California - Berkeley
Library Conservation Department
Library RM 416
Berkeley CA 94720
Project Consultant
Barclay Ogden

CENTRO 1992 Preservation Needs Assessment Project
Pre-Training Questionnaire

Name of Institution _____

1. Do you plan to conduct the Preservation Needs Assessment Project (PNAP) for your institution's **ENTIRE** (library, archives, special collections, or information) collection or for a **PORTION** of the collection?

   ENTIRE _____ **PORTION** _____

   If for a **PORTION** of the collection, what subject(s) or format(s) will you target for the PNAP?

   SUBJECT(S) _____
   FORMAT(S) _____

   Format (please estimate the number - a good guess will do):

Books	**Approx #**	_____
Journal Volumes		_____
Document Boxes		_____
Pamphlet Files		_____
Maps or Oversize Materials		_____
Photographs		_____
Microfilm, Microfiche		_____
Other _____		_____

2. Is this target collection (i.e. the entire collection or the portion you have chosen) represented in a single listing? (A listing could mean a shelf-list, an inventory, or an online database of machine-readable records?)

   YES _____ **NO** _____

   If NO, go to question # 3.

   If YES, please identify the form of the listing and then go to question # 5:

   _____ **Online System (Vendor _____)**
   _____ **Shelflist(s) (How many? _____)**
   _____ **Card Catalog**
   _____ **Other Machine-readable records**
   Describe:

   _____ **Other non-computer listing (e.g. inventory, finding aid)**
   Describe:

3. Estimate the percentage of the target collection represented by each type of listing?

Online System	_____%
Shelflist(s)	_____%
Card Catalog	_____%
Other Machine-readable records	_____%
Other non-computer listings	_____%
No listing	_____%

4. Are any items represented in more than one listing?

YES _____ **NO** _____

If YES, describe (e.g. some items are listed in the card catalog as well as the online system):

5. If all or a portion of the target collection is represented in your online system can the system generate a set of random numbers with which to identify a random sample from the online file?

YES _____ **NO** _____

or can the system provide a printout of the randomly chosen records?

YES _____ **NO** _____

315-478-6080 Within New York State 1-800-848-8448 FAX: 315-478-0512

Preservation Needs Assessment Project
Survey Training Seminar
Syracuse University
E S Bird Library, 1916 Room
August 3, 1992 9:00 am - 5:00 pm

AGENDA

8:45 - 9:00	Registration and Coffee
9:00 - 10:30	Welcome and Overview of the Central New York Preservation Needs Assessment Project
	Overview of the Preservation Needs Assessment Instrument
	Selecting the Sample
10:30 - 10:45	Break
10:45 - 12:00	Using the Sample Data Form
	Practicum I: Answering the Questions
	Review of Results
12:00 - 1:15	Lunch on your own Syracuse University Schine Student Center
1:15 - 3:15	Analysis of Actions and Priorities
	Practicum II: Identifying Actions/Treatments Determining Preservation Priorities
3:15 - 3:30	Break
3:30 - 5:00	Using the Automated Needs Assessment Instrument
	Relationship of the Needs Assessment to Preservation Program Planning
	Questions and Answers

A Part of New York State's Reference & Research Library Resources Program
Chartered in 1967 by the New York State Board of Regents

Central New York Library Resources Council
Preservation Needs Assessment Survey

Bibliographic Identification

Library Name _____ Building / Department _____

Call No. _____ Author _____

Title _____ Imprint _____

Format B D F T P O

Access Data

Y N 1. Missing?

Y N 2. Used in the past 5 years?

Housing Data

Y N 3. Lacks automatic fire protection?

Y N 4. Lacks disaster response plan?

Y N 5. Stack conditions not to standard?

Condition Data

Y N 6. Missing parts or pages?

Y N 7. Broken into pieces, have them all?

Y N 8. Deteriorated text/image?

Y N 9. Uncopyable text/image?

Value Data

Y N 10. Probably only copy in New York State libraries?

Y N 11. Significant artifact value?

Y N 12. Part of a comprehensive collection?

Y N 13. If lost or unusable, WILL replace, repair, or reformat this edition?

PNAP Survey, 1992

CALIPR

An automated tool to assess preservation needs of book and document collections for institutional or statewide planning

Calipr is an automated preservation needs assessment instrument that provides some of the expertise of a preservation consultant to help assess, quantify, and prioritize the preservation needs of your collection. Calipr is applicable to collections of bound materials, archives, manuscripts, photographs or other documentary media.

Calipr has been extensively field tested in libraries, archives, and historical societies throughout California. Calipr may be used for preservation planning by individual institutions or for regional or statewide cooperative preservation planning.

Calipr includes:

- four 5 1/4" diskettes for use with IBM compatible personal computers; requires as little as 1.8 MB memory
- user's manual with instructions for:
  - constructing random samples
  - completing survey questionnaire
  - installing and using software
  - printing management reports
  - interpreting results
  - establishing preservation action priorities
- sample statewide preservation planning report

CALIPR **An automated tool to assess preservation needs of book and document collections for institutional or statewide planning**

Please send me ____ copies of Calipr x $30.00 = $ ____ +

California residents add California sales tax = ____ +

Shipping and handling for first copy = $2.50 +

Shipping and handling for additional copies x $.50 each = ____ +

I enclose a check payable to *California State Library Foundation* for total amount = ____

My mailing address: ____

Mail this form and payment to: California State Library Foundation
P.O. Box 942837
Sacramento, CA 94237-0001

INTRODUCTION

Calipr is an automated preservation needs assessment tool developed to enable the California State Library to conduct a statewide preservation needs assessment survey, the results to be used in the preparation of a California Preservation Plan. Calipr originally was developed and tested in manual form in 1989 by the Conservation Department of The Library at the University of California, Berkeley. In 1990-91, it was reviewed, tested, and improved by many professionals in the field of library preservation, notable among them a group of preservation librarians working together as a preservation task force within the Research Libraries Group. Calipr was automated by the Systems Office of The Library at UC Berkeley in 1991; another version of this tool was automated by the Research Libraries Group for its members, also in 1991.

THE DOCUMENTATION

This manual (including four 5 1/4" diskettes) leads the surveyor through the design and use of Calipr and its application to a sample of materials drawn from a collection about which estimates of preservation needs are desired. Calipr has been designed to allow institutions without preservation expertise on their staffs to determine the preservation needs of their collections and to contribute their data for aggregation with data from other institutions. Data from Calipr can be used to prepare institutional and statewide preservation plans.

The Appendix, "Sample of Statewide Preservation Planning Using Calipr: the *California Preservation Needs Assessment Survey Report*," provides an example of an application of Calipr to a group of institutions, in this case major resource collections in California. Using the *Report* as a case history, the reader is shown how the survey data was used to support statewide preservation planning. Statistical information was developed on the preservation needs of collections, on education and training needs of institutions responsible for the custody of the materials, and on setting priorities for taking preservation action.

A TOOL FOR PRESERVATION PLANNING

Calipr is a powerful tool for collecting and manipulating data concerning the preservation needs of collections, but is not a simple formula for building a preservation program. Understanding collection needs is the starting place for development of a preservation program; Calipr generates several management reports to provide important insights to the needs of collections as a whole and to those parts of collections of greatest value and at greatest risk of damage and loss. However, Calipr is not designed to evaluate the success of existing efforts to address preservation problems; it assesses, in general terms, what needs to be done in addition to preservation programming already in place.

Following an assessment of collection needs, the preservation planner must evaluate the feasibility of meeting those needs, including development of resources and procurement of technical and management capability. Existing preservation programming may need to be evaluated: are increases needed or are revisions needed as well? The results of a feasibility study, coupled with the needs assessment survey, should yield a preservation program strategy, that is, a realistic management approach to developing a preservation program tailored to the needs of the institution and responsive to opportunities and limitations of resources.

DETERMINING THE PRESERVATION PRIORITY

The preservation priority for an item in hand results from data gathered by Calipr in four named categories, Access, Housing, Condition, and Value.

In the Calipr program, Access has been defined as the probability of access when the item is wanted. Materials that seldom are used have a higher probability of being available when needed than materials currently in high demand or currently not able to be found; therefore, one or more Y responses to the Access questions (1 and 2) is interpreted to be **poor** Access (that is, a low probability of access). N responses to questions 1 and 2 imply a relatively high probability of access, defined as **good** Access.

Likewise, **poor** Housing (as opposed to **good**) results from one or more Y responses to questions 3, 4, and 5.

Poor Condition (as opposed to **good**) results from one or more Y responses to questions 6, 7, 8, and 9.

High Value (as opposed to **normal**) results from one or more Y responses to questions 10, 11, 12, and 13.

Thus,

Questions	all N	1 or more Y
Access	good	poor
Housing	good	poor
Condition	good	poor
Value	normal	high

The second set of Calipr operations combines the assigned values for Access, Housing, Condition, and Value to determine Preservation Priority. In order to do this two additional concepts are introduced, Exposure and Risk. The relationships among Access, Housing, Condition, and Value are defined to be:

Access + Housing → Exposure

Exposure + Condition → Risk

Risk + Value → Preservation Priority

In other words, for each item in the sample, the combination of Access problems and Housing problems yields the level of Exposure. In turn, the level of Exposure, coupled with the item's physical Condition yields its Risk of damage or loss. Finally, Risk coupled with the item's Value yields its Preservation Priority.

Exposure

The level (**high**, **medium**, and **low**) of Exposure is determined by the severity of the combination of Housing and Access problems. Materials that are housed well and are seldom used are at much lower Exposure than materials housed poorly and used frequently.

A simple matrix is used to combine the values for Access and Housing to yield a value for Exposure:

HOUSING	ACCESS: poor	ACCESS: good
poor	high exp.	med. exp.
good	med. exp.	low exp.

→ **EXPOSURE**

Risk

Risk is defined as the vulnerability of materials to damage or loss. Materials at high Exposure and in poor Condition are most at Risk; materials with low Exposure and in good Condition are, in relative terms, at no Risk. Another matrix is used to combine the values:

EXPOSURE	CONDITION: poor	CONDITION: good
high	high risk	med. risk
med.	med. risk	low risk
low	low risk	no risk

→ **RISK**

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Preservation Priority

Having defined Risk as **high, medium, low, or none,** Preservation Priority can be determined by using a third matrix, relating Risk to Value:

RISK	VALUE: high	VALUE: normal
high	1st	2nd
med.	2nd	3rd
low	3rd	4th

→ **PRESERVATION PRIORITY**

Items for which there is **no risk** as defined by the Risk matrix will not have a preservation priority since no action is needed.

Credit: Some of the wording of this section of text has been borrowed from the *Guide to the RLG Preservation Needs Assessment Package.* Mountain View, CA: Research Libraries Group, May 1, 1991.

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A) REPORT FOR ALL ITEMS IN SAMPLE: BOOK

B) LIBRARY:

C) TOTAL NUMBER IN SAMPLE FOR THIS FORMAT: 100

D) SUMMARY DATA BY QUESTION

	ACCESS			CONDITION	
	Yes	No		Yes	No
1)	0	100	6)	2	98
2)	23	77	7)	5	95
			8)	3	97
			9)	0	100

	HOUSING			VALUE	
	Yes	No		Yes	No
3)	0	100	10)	0	100
4)	17	83	11)	5	95
5)	100	0	12)	83	17
			13)	82	18

E) SUMMARY OF PRESERVATION PRIORITIES BY ACTION/TREATMENT NEEDED:

ACTION/TREATMENT	PRIO.	# IN SAMPLE		PRODUCT	SUM
Inventory Control	1	0	x 4 =	0	
	2	0	x 3 =	0	
	3	0	x 2 =	0	
	4	0	x 1 =	0	
					0
Disaster Plan	1	0	x 4 =	0	
	2	6	x 3 =	18	
	3	11	x 2 =	22	
	4	0	x 1 =	0	
					40
Fire Protection	1	0	x 4 =	0	
	2	0	x 3 =	0	
	3	0	x 2 =	0	
	4	0	x 1 =	0	
					0
Environmental Control	1	2	x 4 =	8	
	2	26	x 3 =	78	
	3	57	x 2 =	114	
	4	15	x 1 =	15	
					215

ACTION/TREATMENT	PRIO	# IN SAMPLE			PRODUCT	SUM
Education	1	2	x 4 =		8	
	2	19	x 3 =		57	
	3	2	x 2 =		4	
	4	0	x 1 =		0	
						69
Rebind/Repair	1	1	x 4 =		4	
	2	4	x 3 =		12	
	3	0	x 2 =		0	
	4	0	x 1 =		0	
						16
Conserve	1	0	x 4 =		0	
	2	1	x 3 =		3	
	3	0	x 2 =		0	
	4	0	x 1 =		0	
						3
Replace/Reformat	1	1	x 4 =		4	
	2	1	x 3 =		3	
	3	0	x 2 =		0	
	4	0	x 1 =		0	
						7
Protective Enclosure	1	0	x 4 =		0	
	2	1	x 3 =		3	
	3	0	x 2 =		0	
	4	0	x 1 =		0	
						3

F) PRIORITY FOR EACH ACTION/TREATMENT:

	ACTION/TREATMENT	SUM
1)	Envi. Control	215
2)	Education	69
3)	Disaster Plan	40
4)	Rebind/Repair	16
5)	Replace/Reforma	7
6)	Conserve	3
7)	Protective Encl	3
8)	Inventory Ctrl.	0
9)	Fire Protection	0

CENTRO 1992 PNAP ALL ITEMS IN SAMPLE: BOOKS - REVISED

SUMMARY: INVENTORY CONTROL

	POPULATION	SAMPLE	#1st	POP 1st	#2nd	POP 2nd	#3rd	POP 3rd	#4th	POP 4th	TOTALS
Colgate University	12,000	400	0	0	0	0	8	240	2	60	300
Fayetteville Free Library	113	23	0	0	0	0	0	0	0	0	0
Herkimer Co Comm College	1,000	13	0	0	0	0	0	0	0	0	0
Oneida Community Mansion House	4,000	76	0	0	0	0	0	0	0	0	0
Onondaga Community College	963	100	0	0	0	0	0	0	0	0	0
Onondaga Co Public Library	35,000	196	0	0	0	0	0	0	4	714	714
Onondaga Historical Assn	9,000	77	0	0	0	0	0	0	0	0	0
Skaneateles Library Assn	35,000	100	0	0	0	0	0	0	12	4,200	4,200
SUNY HSC - Serials	110,000	100	0	0	0	0	0	0	0	0	0
SUNY HSC - Monographs	52000	93	0	0	0	0	8	4,473	0	0	4,473
SUNY HSC - Special Collections	2600	53	0	0	0	0	0	0	0	0	0
Utica Public Library	8,000	100	0	0	0	0	0	0	3	240	240
Inventory Control Totals	269,676			0		0		4,713		5,214	9,927

SUMMARY: DISASTER PLAN

	POPULATION	SAMPLE	#1st	POP 1st	#2nd	POP 2nd	#3rd	POP 3rd	#4th	POP 4th	TOTALS
Colgate University	12,000	400	0	0	0	0	0	0	0	0	0
Fayetteville Free Library	113	23	3	15	9	44	10	49	1	5	113
Herkimer Co Comm College	1,000	13	0	0	1	77	11	846	1	77	1,000
Oneida Community Mansion House	4,000	76	0	0	41	2,158	17	895	1	53	3,105
Onondaga Community College	963	100	0	0	0	0	0	0	0	0	0
Onondaga Co Public Library	35,000	196	0	0	0	0	0	0	0	0	0
Onondaga Historical Assn	9,000	77	0	0	0	0	0	0	0	0	0
Skaneateles Library Assn	35,000	100	0	0	0	0	0	0	0	0	0
SUNY HSC - Serials	110,000	100	0	0	6	6,600	11	12,100	0	0	18,700
SUNY HSC - Monographs	52000	93	0	0	0	0	0	0	0	0	0
SUNY HSC - Special Collections	2600	53	0	0	0	0	0	0	0	0	0
Utica Public Library	8,000	100	13	1,040	25	2,000	42	3,360	18	1,440	7,840
Disaster Plan Totals	269,676			1,055		10,879		17,250		1,574	30,758

SUMMARY: FIRE PROTECTION

	POPULATION	SAMPLE	#1st	POP 1st	#2nd	POP 2nd	#3rd	POP 3rd	#4th	POP 4th	TOTALS
Colgate University	12,000	400	0	0	0	0	0	0	0	0	0
Fayetteville Free Library	113	23	0	0	0	0	0	0	0	0	0
Herkimer Co Comm College	1,000	13	0	0	0	0	0	0	0	0	0
Oneida Community Mansion House	4,000	76	2	105	53	2,789	20	1,053	1	53	4,000
Onondaga Community College	963	100	0	0	0	0	0	0	0	0	0
Onondaga Co Public Library	35,000	196	0	0	0	0	0	0	0	0	0
Onondaga Historical Assn	9,000	77	0	0	0	0	0	0	0	0	0
Skaneateles Library Assn	35,000	100	0	0	0	0	0	0	0	0	0
SUNY HSC - Serials	110,000	100	0	0	0	0	0	0	0	0	0
SUNY HSC - Monographs	52000	93	0	0	0	0	0	0	0	0	0
SUNY HSC - Special Collections	2600	53	0	0	0	0	0	0	0	0	0
Utica Public Library	8,000	100	13	1,040	25	2,000	42	3,360	18	1,440	7,840
Fire Protection Totals	269,676			1,145		4,789		4,413		1,493	11,840

BEST COPY AVAILABLE

CENTRO 1992 PNAP ALL ITEMS IN SAMPLE: BOOKS - REVISED

SUMMARY: ENVIRONMENTAL CONTROL

	POPULATION	SAMPLE	#1st	POP 1st	#2nd	POP 2nd	#3rd	POP 3rd	#4th	POP 4th	TOTALS
Colgate University	12,000	400	0	0	0	0	0	0	0	0	0
Fayetteville Free Library	113	23	3	15	9	44	10	49	1	5	113
Herkimer Co Comm College	1,000	13	0	0	1	77	11	846	1	77	1,000
Oneida Community Mansion House	4,000	76	1	53	51	2,684	20	1,053	1	53	3,842
Onondaga Community College	963	100	0	0	0	0	0	0	0	0	0
Onondaga Co Public Library	35,000	196	0	0	0	0	0	0	0	0	0
Onondaga Historical Assn	9,000	77	4	468	18	2,104	26	3,039	22	2,571	8,182
Skaneateles Library Assn	35,000	100	0	0	0	0	0	0	1	350	350
SUNY HSC - Serials	110,000	100	2	2,200	26	28,600	57	62,700	15	16,500	110,000
SUNY HSC - Monographs	52000	93	0	0	6	3,355	56	31,312	31	17,333	52,000
SUNY HSC - Special Collections	2600	53	2	98	25	1,226	25	1,226	1	49	2,600
Utica Public Library	8,000	100	13	1,040	25	2,000	42	3,360	18	1,440	7,840
	269,676			3,873		40,091		103,585		38,378	185,927

SUMMARY: EDUCATION

	POPULATION	SAMPLE	#1st	POP 1st	#2nd	POP 2nd	#3rd	POP 3rd	#4th	POP 4th	TOTALS
Colgate University	12,000	400	0	0	52	1,560	53	1,590	1	30	3,180
Fayetteville Free Library	113	23	3	15	6	29	0	0	0	0	44
Herkimer Co Comm College	1,000	13	0	0	1	77	0	0	0	0	77
Oneida Community Mansion House	4,000	76	2	105	5	263	0	0	0	0	368
Onondaga Community College	963	100	0	0	1	10	9	87	17	164	260
Onondaga Co Public Library	35,000	196	0	0	6	1,071	31	5,536	10	1,786	8,393
Onondaga Historical Assn	9,000	77	4	468	11	1,286	1	117	0	0	1,870
Skaneateles Library Assn	35,000	100	0	0	0	0	4	1,400	72	25,200	26,600
SUNY HSC - Serials	110,000	100	2	2,200	19	20,900	2	2,200	0	0	25,300
SUNY HSC - Monographs	52000	93	0	0	6	3,355	40	22,366	0	0	25,720
SUNY HSC - Special Collections	2600	53	2	98	5	245	2	98	0	0	442
Utica Public Library	8,000	100	13	1,040	14	1,120	19	1,520	0	0	3,680
Education Totals	269,676			3,926		29,916		34,913		27,179	95,934

SUMMARY: REBIND/REPAIR

	POPULATION	SAMPLE	#1st	POP 1st	#2nd	POP 2nd	#3rd	POP 3rd	#4th	POP 4th	TOTALS
Colgate University	12,000	400	0	0	1	30	6	180	1	30	240
Fayetteville Free Library	113	23	2	10	0	0	0	0	0	0	10
Herkimer Co Comm College	1,000	13	0	0	0	0	0	0	0	0	0
Oneida Community Mansion House	4,000	76	0	0	1	53	0	0	0	0	53
Onondaga Community College	963	100	0	0	1	10	0	0	1	10	19
Onondaga Co Public Library	35,000	196	0	0	3	536	4	714	7	1,250	2,500
Onondaga Historical Assn	9,000	77	1	117	2	234	1	117	0	0	468
Skaneateles Library Assn	35,000	100	0	0	0	0	0	0	0	0	0
SUNY HSC - Serials	110,000	100	1	1,100	4	4,400	0	0	0	0	5,500
SUNY HSC - Monographs	52000	93	0	0	3	1,677	4	2,237	0	0	3,914
SUNY HSC - Special Collections	2600	53	0	0	1	49	0	0	0	0	49
Utica Public Library	8,000	100	1	80	0	0	2	160	0	0	240
Rebind/Repair Totals	269,676			1,307		6,988		3,408		1,290	12,992

CENTRO 1992 PMAP ALL ITEMS IN SAMPLE: BOOKS - REVISED

SUMMARY: CONSERVE

	POPULATION	SAMPLE	#1st	POP 1st	#2nd	POP 2nd	#3rd	POP 3rd	#4th	POP 4th	TOTALS
Colgate University	12,000	400	0	0	37	1,110	109	3,270	0	0	4,380
Fayetteville Free Library	113	23	1	5	0	0	0	0	0	0	5
Herkimer Co Comm College	1,000	13	0	0	0	0	0	0	0	0	0
Oneida Community Mansion House	4,000	76	0	0	3	158	0	0	0	0	158
Onondaga Community College	963	100	0	0	0	0	0	0	0	0	0
Onondaga Co Public Library	35,000	196	0	0	0	0	2	357	0	0	357
Onondaga Historical Assn	9,000	77	0	0	0	0	0	0	0	0	0
Skaneateles Library Assn	35,000	100	0	0	0	0	0	0	0	0	0
SUNY HSC - Serials	110,000	100	0	0	1	1,100	0	0	0	0	1,100
SUNY HSC - Monographs	52000	93	0	0	0	0	0	0	0	0	0
SUNY HSC - Special Collections	2600	53	1	49	11	540	0	0	0	0	589
Utica Public Library	8,000	100	1	80	0	0	0	0	0	0	80
Conserve Totals	269,676			134		2,908		3,627		0	6,669

SUMMARY: REPLACE/REFORMAT

	POPULATION	SAMPLE	#1st	POP 1st	#2nd	POP 2nd	#3rd	POP 3rd	#4th	POP 4th	TOTALS
Colgate University	12,000	400	0	0	1	30	1	30	0	0	60
Fayetteville Free Library	113	23	0	0	3	15	0	0	0	0	15
Herkimer Co Comm College	1,000	13	0	0	0	0	0	0	0	0	0
Oneida Community Mansion House	4,000	76	0	0	20	1,053	2	105	0	0	1,158
Onondaga Community College	963	100	0	0	0	0	0	0	0	0	0
Onondaga Co Public Library	35,000	196	0	0	3	536	13	2,321	34	6,071	8,929
Onondaga Historical Assn	9,000	77	3	351	11	1,286	14	1,636	3	351	3,623
Skaneateles Library Assn	35,000	100	0	0	0	0	0	0	0	0	0
SUNY HSC - Serials	110,000	100	1	1,100	1	1,100	0	0	0	0	2,200
SUNY HSC - Monographs	52000	93	0	0	1	559	2	1,118	0	0	1,677
SUNY HSC - Special Collections	2600	53	1	49	4	196	0	0	0	0	245
Utica Public Library	8,000	100	0	0	3	240	6	480	0	0	720
Replace/Reformat Totals	269,676			1,500		5,014		5,691		6,422	18,627

SUMMARY: PROTECTIVE ENCLOSURE

	POPULATION	SAMPLE	#1st	POP 1st	#2nd	POP 2nd	#3rd	POP 3rd	#4th	POP 4th	TOTALS
Colgate University	12,000	400	0	0	13	390	20	600	0	0	990
Fayetteville Free Library	113	23	0	0	0	0	0	0	0	0	0
Herkimer Co Comm College	1,000	13	0	0	0	0	0	0	0	0	0
Oneida Community Mansion House	4,000	76	2	105	24	1,263	0	0	0	0	1,368
Onondaga Community College	963	100	0	0	0	0	0	0	0	0	0
Onondaga Co Public Library	35,000	196	0	0	0	0	2	357	0	0	357
Onondaga Historical Assn	9,000	77	0	0	0	0	0	0	0	0	0
Skaneateles Library Assn	35,000	100	0	0	0	0	0	0	0	0	0
SUNY HSC - Serials	110,000	100	0	0	1	1,100	0	0	0	0	1,100
SUNY HSC - Monographs	52000	93	0	0	0	0	0	0	0	0	0
SUNY HSC - Special Collections	2600	53	0	0	4	196	0	0	0	0	196
Utica Public Library	8,000	100	11	880	11	880	0	0	0	0	1,760
Protective Enclosure Totals	269,676			985		3,829		957		0	5,772

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Preservation Needs Assessment Project
Preservation Management Seminar
at Utica Public Library
September 14, 1992

Agenda

I. Preservation Problems and Solutions

II. Interpretation of Needs Assessment Data

III. Management Strategies to Meet Needs

IV. Resources for Meeting Documented Needs

V. Site Visits to Review Institutional Strategies

VI. Preparation of a Preservation Plan

A Part of New York State's Reference & Research Library Resources Program
Chartered in 1962 by the New York State Board of Regents

CENTRO PRESERVATION NEEDS ASSESSMENT PROJECT
FEASIBILITY CHECKLIST

ADMINISTRATION

1. Is someone currently responsible for preservation? Y___N___
   * If **YES**, what is his/her title/classification level?

2. How many FTE staff are involved in preservation activities? _____
   * At what classification level(s)?_____

3. If there a budget dedicated to preservation, how much is allocated per year? $ _____

4. If your library currently has a preservation program in place, how does the program relate to the library's mission statement, collection development goals, and service goals?

5. In general, how would you judge your library's environmental conditions? Adequate___ Inadequate___

6. Do you have chronic collections storage problems? Y___ N___
   * If **YES**, briefly describe:

7. Have you developed any staff/user education activities? Y___N___
   * If **YES**, briefly describe:

8. What special collection(s) does your library hold which you consider important for supporting regional/statewide resource sharing efforts?
   * Describe briefly and indicate size of collection(s):

EXTERNAL FUNDING

1. Is your library involved in fundraising activities? Y___ N___
   * If **YES**: How much money is (has been) raised? $ _____
     From whom? _____
     For what? _____

2. Is there currently administrative support for grant writing and administration? Y___ N___

3. Does anyone at your library have previous experience with grants administration? Y___ N___
   * If **YES**, who?_____
   * What kind of experience does this individual have?

CURRENT PRESERVATION ACTIVITIES

1. **REPAIR PROGRAM:** If you perform in-house book repair:

a. How much space is dedicated to repair (approx sq ft)? _____
b. How many FTE staff are dedicated to repair? _____
c. Who is responsible for repair? Title/classification:

d. Who implements repair activities? Title/classification:

e. What is the current production level for repair?
_____bks/wk or _____bks/mo or _____bks/yr

* Is scale up possible?

f. Describe the workflow for repair (use back of page if necessary):

g. Is an appropriate quality product provided? Y___ N___
h. Are appropriate preservation quality supplies used? Y___ N___
i. What sources are used for treatment supplies, housing materials?

j. What kind of equipment is available for use?

k. Is treatment for rare material available? Y___ N___
* If **yes**: --What suppliers are available?

--What funding is available for rare materials treatment?

l. What is the relationship between your repair and library binding programs?

2. **LIBRARY BINDING:**

a. If library binding is an established activity, what is the size of your annual binding budget? $_____

b. Who controls the binding budget?
* Title/classification:_____

c. Who is responsible for the binding operation?
* Title/classification_____
* # FTE staff involved? _____

d. Name of bindery(s) used_____
* Are appropriate services available? Y___ N___
* Is the service/product provided of appropriate quality? Y___ N___

e. What is the current production rate?_____
* Is scale up possible?

3. **PRESERVATION REPLACEMENT PROGRAM**

a. Is someone responsible for implementing replacement activities for materials too brittle/damaged for further use (e.g., purchase of reprints to replace brittle/damaged material, preservation photocopies, preservation microfilm)? Y___ N___
   * If **yes**, who is responsible? Title/classification:

b. How many FTE are involved in preservation replacement? _____

c. Is there a budget allocated to replacement? Y___ N___
   * If **yes**, how much? $_____/yr

d. If there is a preservation replacement program in place:
   * Is there space available for replacement work? Y___ N___
   * Is the space adequate_____ inadequate_____

e. Describe the workflow for replacement (e.g., identification of brittle items, decision making, sources for replacement--use back of page if necessary):

f. Are appropriate replacement formats available? Y___ N___
   If **yes**, are they of appropriate quality? Y___ N___

g. What is the current production rate?_____
   * Is scale up possible?

EMERGENCY RESPONSE

1. Have emergency supplies been acquired? Y___ N___

2. Is environmental monitoring equipment available (e.g., sling psychrometer, hygrothermograph)? Y___ N___

3. Have staff received emergency response training? Y___ N___

4. Does the library have a **written** disaster plan? Y___ N___

SECURITY

1. Does the library have: Perimeter control? Y___ N___
   Anti-theft measures? Y___ N___

2. Does the library have fire protection and suppression systems? Y___ N___

"CENTRAL NEW YORK PRSERVATION NEEDS ASSESSMENT PROJECT"

Site Visit Agenda

1. Review needs assessment data.

2. Visit current preservation operations and review procedures for identification of damaged materials.

3. Examine needs of collections important for resource-sharing.

4. Using the Feasibility Checklist, review information to determine a strategy to take action on the preservation priorities identified by the needs assessment.

5. Meet with director to discuss preservation goals and possibilities for preservation project management.

6. Tour building if time allows.

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Model Preservation Plan

A goal of the CENTRO Preservation Needs Assessment Project is for each participating institution to develop a preservation plan to guide the development and implementation of preservation activities geared to the needs of the institution's collections. Step 1 is to review the results of the needs assessment survey, including its priorities for action. Step 2 is to determine the "feasibility" of implementation of each of the solutions identified by the needs assessment. (Feasibility includes technical capability, organizational capability, and financial resources.) Step 3 is to develop a "strategy" to implement an appropriate preservation program, based on the collection priorities and feasibility findings. Step 4 is to document the findings of steps 1-3 in a written plan for review and implementation by the institution's administration.

The written plan should include several major components and be written as tightly as possible. The model outline offers a list of the major components and one way to organize them:

I. Statement of Preservation Goals
   * relate to institution mission statement, collection development goals, and service goals
   * why, how long, and in what form do the collections need to be preserved?

II. Preservation Strategy and Actions
   * organize by strategy number and include:
     - nature and scale of problem
     - description of solution and $ costs
     - organization, staffing, and training required
     - why this strategy number was assigned
     - how to get started

III. Organizational Support and Funding
   * recommendations for organization infrastructure to support preservation activities
   * possible funding sources (incl. reallocation, parent institution, foundations and gov. funding agencies)
   * phased implementation (assuming inadequate resources to meet all identified needs); options incl.:
     - complete in strategy number order
     - identify most urgent actions to take (based on materials used within the last 5 years)
     - select materials based on a combination of most urgent needs and highest value

IV. List of Individual Collections with High Preservation Priority and Needed for Resource-Sharing in New York.
   * needs and costs

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PRESERVATION NEEDS ASSESSMENT:
A MANAGEMENT TOOL

DEVELOPING AN IMPLEMENTATION STRATEGY

Priority + Feasibility => Implementation Strategy

Components of Feasibility:

1. **Capability**:
   a. Is there a **technical solution** available to solve the preservation problem?

   b. Are there **management skill**s within the institution to assign management of a particular task, project, etc.?

   c. Do **services** exist that can carry out the work?

2. **Resources**:
   a. Is there **staff** available to perform the work?

   b. Is there **space** available within which to perform the work?

   c. Is there **money** available?

CAPABILITY + RESOURCES => FEASIBILITY

	Capability: Yes	Probable	Unlikely
Resources Y	1	2	3
P	2	3	4
U	3	4	5

PRIORITY X FEASIBILITY -> IMPLEMENTATION STRATEGY NUMBER

Example: 1st Priority x Feasibility 3 = Strategy number 3
The lower the strategy number, the higher the implementation priority.

IMPLEMENTATION STRATEGY

	PROGRAM PRIORITY #	x FEASIBILITY #	--> IMPLEMENTATION STRATEGY #
1	_____	_____	_____
2	_____	_____	_____
3	_____	_____	_____
4	_____	_____	_____
5	_____	_____	_____
6	_____	_____	_____
7	_____	_____	_____
8	_____	_____	_____
9	_____	_____	_____

IMPLEMENTATION STRATEGY

(SMALLEST # TO LARGEST #)

PRIORITY	ACTION
1	_____
2	_____
3	_____
4	_____
5	_____
6	_____
7	_____
8	_____
9	_____

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Preservation Needs Assessment Project
Syracuse University
E S Bird Library, 1916 Room
November 2, 1992 9:00 am - 5:00 pm

Planning for Collective Action

I. Feasibility Review

II. Preservation Plan Review

III. Planning for Collective Action

- A. Identification of Collective Priorities
- B. Development of a Collective Strategy

IV. Preparation of a New Discretionary Grant Proposal

- A. Narrative and Budget Models (including Cost Sharing)
- B. Training Needs
- C. Timetables for Completion

A Part of New York State's Reference & Research Library Resources Program

COLLECTION PRESERVATION PLAN AND STRATEGY draft

Herkimer County Community College
Library

I. Preservation Goals

Since the creation of Herkimer County Community College in 1967, it has been the responsibility of the College Library to maintain an Archives Collection. This collection is under the supervision of the Director of Library Services. It consists of "all materials which pertain to the general operation of the College which could be of possible historical value, as well as those items which should be a matter of record".

This collection is a valuable resource used by college personnel on a regular basis as a source of information about the college and its programs. This is the only cumulative collection of all material related to the college. It should be preserved in a useable form, with consideration to its unique nature.

II. Preservation Strategy and Actions - in priority order.

A. Disaster Plan

There is currently no disaster plan for the College Library. In the case of an emergency, there is no procedure in place, other than the general campus emergency procedures. There are no emergency supplies for use by the Library, other than those in the general campus stores.

A disaster plan can be devised for the College Library with the assistance of other area libraries and the regional council, which have current disaster plans on file. There would be little cost except the Librarian's time in reviewing other plans and devising one for Herkimer.

This action was the highest priority in the library's needs assessment and is highly feasible with little or no cost except staff time. The Librarian can begin by requesting copies of existing plans from area libraries and the council. This work should be completed by the end of this academic year, June 1993.

B. Education

The College Archives Collection is used mainly by college staff. Very rarely is it required by students or community members. Damage sometimes results from mishandling the materials in the process of photocopying unbound documents.

Documentation and signage can be devised to educate staff on the proper methods of removal, copying and return of materials from the archives. There may also be educational packages which can be shared between several libraries on the care and handling of valuable materials. There would be very little cost involved in documentation and signage for the collection.

This action was a third priority in the library's needs assessment of the collection but is highly feasible with little cost to the library. The Librarian can begin by surveying other libraries for their procedures and policies in handling valuable materials. This work should be completed by the end of the academic year, June 1993.

C. Environmental Control

The Archives Collection is currently housed in the loading dock/storage room of the library. This area has no climate controls and offers direct access to the outdoors through the loading dock doors. The unbound documents, paperback books, and photographs are in manila folders in large non-archival file boxes on library shelving. Some of the 12 scrapbooks of newspaper clippings are in archival newspaper boxes, some with glassine sheets between each page of the scrapbooks. Other scrapbooks are unprotected.

This collection should be completely removed from the storage area into the main Library. The unbound documents, paperback books and photographs should be housed in file cabinets within acid-free folders and envelopes. The scrapbooks should all be protected by acid-free newspaper boxes and inter-leaved with glassine sheets. The approximately 60 linear feet of material would require 6 five-drawer file cabinets, at $500 for each regular file cabinet, with a total of $3000; or at $2800 for each fire-proof file cabinet, with a total of $16,800. The approximately 2000 acid-free file folders cost about $20 per 100, with a total of $400. 4 acid-free newspaper boxes currently needed cost $10 each for a total of $40. Glassine sheets for the current scrapbooks cost $20 per 100 with a total of $80. The approximately 200 photographs should be enclosed in unbuffered envelopes which cost $30 per 100 with a total of $60.

A second part of environmental control strategy is to provide complete humidity and temperature control in the Library building. This has been investigated and supported by the College's Director of Physical Plant. Electronic steam humidifiers with the capacity to control the building would cost approximately $7000. As a preliminary step to complete controls, the Library should purchase a sling cycrometer or hygrometer for about $70. This device should be used over a period of time to measure current humidity fluctuations. The Library should also purchase Paul Banks Environmental Controls Packet for $10 from the New York State Library.

Current Library staff could be used to effect moves once the equipment and supplies are purchased. The Librarian should organize and supervise staff in this work.

This action is the second priority in the Library's needs assessment and also has a second level feasibility. Though it is one of the most urgently needed actions, the funding required to purchase the equipment and supplies makes it less feasible than the previous two actions.

This action has already been begun since there has been $300 allocated for archives supplies in the Library budget. Some acid-free folders, acid-free newspaper boxes and glassine sheets have been purchased and are being used in the Archive Collection. This progress can be continued as funds are available.

D. Replace/Reformat

The 12 current scrapbooks of newspaper clippings are in need of reformatting to microfilm. Much of this collection is over 20 years old and beginning to deteriorate. Acidic newspaper clippings are glued to acidic scrapbook sheets. The deterioration will continue over time. This will be an ongoing problem since clippings of current importance continue to be enclosed in scrapbooks. Though the books are enclosed in acid-free newspaper boxes, there is no stability within.

Archival microfilming of the entire collection of newspaper clippings is one solution to this problem. The current cost of archival microfilming of scrapbooks is $.40 per page. At approximately 1200 current pages, the total current cost would be $480. The microfilm could be housed in a separate area of the college, such as the Computer Labs.

This action could be accomplished with little staff involvement and in a short period of time if the funds were available. This action was the fourth priority in the Library's needs assessment and the cost made it a second level feasibility.

III. Organizational Support and Funding

Preservation activities are the responsibility of the Library in particular and the entire College in general. Funding for all library operations fall under the general College budget except for special grants from state sources (i.e. Coordinated Collection Development and regional automation grants) and local organizations (i.e. Mohawk Regional Teacher Center acquisitions grant).

Currently about $300 annually is allocated in the Library budget supplies line for archival supplies such as acid-free folders. The College could make a commitment to provide extra funds for the purchase of file cabinets to establish the Archives Collection in a better environmental situation. The College administrative officers are aware of the need for upgrading the situation of the Archives Collection. The College has not yet provided funding for adequate humidification for the Library building, in spite of the advice of the Director of the Physical Plant. The HCC Foundation, an independent fund-raising organization, sometimes makes grants to individuals or departments, in support of college programs. This is another possible source of funding for archival improvements.

Phased implementation would take the following form:

1992-3 Draw up and establish a Disaster Plan for the Library; devise educational documentation and signage for use of archival documents; Library supply budget used to continue replacing manila folders with acid-free ones and to purchase envelopes for photographs; purchase Environmental Controls Packet; purchase hygrometer - $300.

1993-4 Seek extra College funds or HCC Foundation grant to begin purchasing file cabinets; continue purchasing archival supplies to replace manila folders; seek regional state funds for microfilming of the scrapbook collection - $4000.

1994-5 Establish in Library budget annual amount for ongoing microfilming and increasing number of file cabinets needed for Archives Collection; seek extra College funds to complete current needs for file cabinets - $3000.

IV. List of Individual Collections with High Preservation Priority and Needed for Resource-sharing in New York.

A. Unique collection of historical material on Herkimer County and the establishment of Herkimer County Community College.

B. Coordinated Collection Development designated subject areas of law, secretarial science, and travel and tourism materials in the general and reference collections.